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PATENT
81839.0107

1722

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Iida, et al.

Serial No: 10/009,910

Filed: December 12, 2001

For: Silicon Wafer, Silicon Epitaxial Wafer
and Annealed Wafer, and Method for
Producing the Same

Art Unit: 1722

Examiner: Song, M.J.

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:	
Commissioner for Patents Washington D.C. 20231, on	
September 13, 2005	
Date of Deposit	
Shingale Ferguson	
Name	
September 13, 2005	Date
Signature	

**TRANSMITTAL OF INFORMATION
DISCLOSURE STATEMENT**

Commissioner for Patents
Washington, D.C. 20231

Dear Sirs:

1. ☐ The information disclosure statement submitted herewith is being filed within three months of the filing date of the application other than a continued prosecution application, or within three months of the date of entry into the national stage of an international application, or before the mailing date of a first Office Action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under §1.114, whichever event occurs last. 37 C.F.R. §1.97(b).
2. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in §1.97(b), but *before* the mailing date of a final action under §1.113, or a notice of allowance under §1.311, or an action that otherwise closes prosecution in the application, whichever occurs first. A statement specified in §1.97(e) or a fee set forth in §1.17(p) is included. 37 C.F.R. §1.97(c).

§1.97(e) STATEMENT

I, the person signing below, state:

- ☐ that each item of information contained in the information disclosure statement was first cited in the attached communication from a foreign patent office in a counterpart foreign application and that the communication is dated not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).

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OR

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in

§1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).

OR FEE

- ☐ Attached is a fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(c). (\$180.00). [OR:] Please charge the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(c) (\$180.00) to Deposit Account No. 50-1314. A copy of this petition is enclosed.

3. ☒ The information disclosure statement transmitted herewith is being filed *after* the period specified in §1.97(c), but before, or simultaneously with the payment of the issue fee. A statement specified in §1.97(e) and a fee set forth in §1.17(p) are included. 37 C.F.R. §1.97(d).

§1.97(e) STATEMENT

I, the person signing below, state:

- ☒ that each item of information contained in the information disclosure statement was first cited in the attached communication from a foreign patent office in a counterpart foreign application and that the communication is dated not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).

OR

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).

AND FEE

- ☒ Attached is a fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(d). (\$180.00).
4. ☒ If it should be determined that for any reason either an insufficient fee or an excessive has been paid, please charge any insufficiency or credit any overpayment necessary to ensure consideration of the information disclosure statement for the above-identified application to Deposit Account No. 50-1314. **A copy of this petition is enclosed.**
5. ☒ A list of 2 reference(s) is in the enclosed Form PTO-1449.

NON-ENGLISH LANGUAGE REFERENCES

- ☒ Enclosed is a Japanese language office action for a counterpart application.
- ☒ The applicant has provided a translation of one of the cited references as a matter of courtesy. The translation has not been reviewed for accuracy.
- ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:

Respectfully submitted,
HOGAN & HARTSON L.L.P.

Date: September 13, 2005

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By: 

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FORM PTO-1449

**INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**

(Use several sheets if necessary)

Docket Number (Optional)
81839.0107

Application Number
10/009,910

Applicant

IIDA, et al.

Filing Date
December 12, 2001

Group Art Unit
1722

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
	2001-274166	10/05/01	JAPAN			Abstract	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

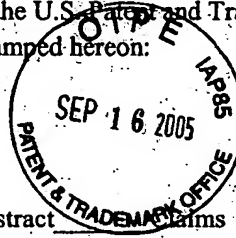
	"MOS Device Epitaxial Wafer", edited by Hirota Sumitomo, Realize Limited 6/30/98, pgs. 13-15

EXAMINER**DATE CONSIDERED**

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

S.N. 10/009,910 File No. 81839.0107 Date Mailed 9/13/05 By: WJW/SF
Title Silicon Wafer, Silicon Epitaxial Wafer
(Client Name) Shin-Etsu

The Following due _____ in the U.S. Patent and Trademark office was received in the Patent & Trademark Office on the date stamped hereon:



☐ Amendment
☐ Preliminary Amendment
☐ PCT Application Including
☐ Pages Spec. _____ Page Abstract _____
☐ Application for Patent Including
☐ Pages Spec. _____ Page Abstract _____ Claims
☐ Declaration, Affidavit of Oath (_____ Page(s))
☐ Assign. Ck. No. _____ for \$ _____
☐ Verified Statement
☒ Letter of Transmittal of IDS
☐ Amendment Under 37 C.F.R. 1.312(a)
☒ Check No. D/A for \$ 180.00
☐ Check No. _____ for \$ _____
☐ Check No. _____ for \$ _____

Drawing: # of Sheets _____
_____ Formal _____ Informal
☐ Issue Fee Transmittal
☐ Letter Re _____
☐ Notice of Appeal
☐ Petition for _____
☐ Advance soft copy order
☐ Ck. No. _____ for \$ _____
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☐ Response to NMP
☐ Publication Fee
☐ Priority _____

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